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PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/835,866	
	<b>Filing Date</b>	April 16, 2001	
	<b>First Named Inventor</b>	Willebrand, Heinz	
	<b>Group Art Unit</b>	2633	
	<b>Examiner Name</b>	Phan, Hanh	
<b>Total Number of Pages in This Submission</b>	7	<b>Attorney Docket Number</b>	69971

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**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  - Form PTO-1449 - copies of fifteen (15) references - Return receipt postcard
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Individual name	Richard E. Wawrzyniak, Reg. No. 36,048
Signature	<i>Richard E. Wawrzyniak</i>
Date	10/24/02

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: <b>October 24, 2002</b>			
Typed or printed name	Pamela M. Stone		
Signature	<i>Pamela M. Stone</i>	Date	October 24, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$180.00

## Complete if Known

Application Number	09/835,866
Filing Date	April 16, 2001
First Named	Willebrand, Heinz
Examiner Name	Phan, Hanh
Group Art Unit	2633
Attorney Docket No.	69971

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 06-1135  
Deposit Account Name: Fitch, Even, Tabin & Flannery  
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	-30**=	X	
Independent Claims	-5**=	X	
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$00.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	180.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL					\$180.00

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## SUBMITTED BY

Name (Print/Type)	Richard E. Wawrynaiak	Registration No. (Attorney/Agent)	36,048	Telephone	858-552-1311
Signature				Date	10/24/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attorney Docket No. 69971

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Willebrand, Heinz

Application No.: 09/835,866

Filed: April 16, 2001

Title: INTEGRATED ENVIRONMENTAL  
CONTROL AND MANAGEMENT  
SYSTEM FOR FREE-SPACE OPTICAL  
COMMUNICATION SYSTEMS

Group Art Unit: 2633

Examiner: Phan, Hanh

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U. S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231 on this date:

October 24, 2002  
Date

Pamela M. Stone  
Pamela M. Stone

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SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This Information Disclosure Statement is submitted:

\_\_\_\_ Under 37 CFR §1.97(b) (within three months of the filing date of a national application or date of entry of an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last).

X Under 37 CFR §1.97(c) together with either:  
\_\_\_\_ a statement under 37 CFR §1.97(e), or  
X a fee under 37 CFR §1.17(p)  
(after the 37 CFR §1.97(b) time period, but before the mailing date of a final Action, a Notice of Allowance, or an action that otherwise closes prosecution).

\_\_\_\_ Under 37 CFR §1.97(d) together with:  
\_\_\_\_ a statement under 37 CFR §1.97(e), and  
\_\_\_\_ a fee under 37 CFR §1.17(p)  
(after the 37 CFR §1.97(c) time period, but on or before payment of the issue fee).

10/29/2002 NNDHAMM1 00000093 061135 09835866

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Information Disclosure Statement  
Application No. 09/835,866

In accordance with the duty of disclosure imposed by 37 CFR § 1.56 to inform the Patent Office of all patents, publications, applications and other information known by Applicants or Applicants' representative that may be material to the examination of the subject application, Applicants' representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 CFR §§ 1.97-1.98 and includes Form PTO-1449 with fifteen (15) references listed as items AA-AO.

Concise Explanations of Relevance

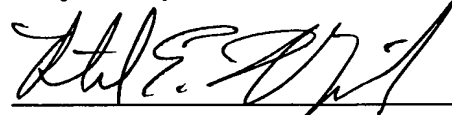
The items listed on Form PTO-1449 as items AK, AL and AN are not in the English language. A full English-language translation is included herewith for each of these items.

Regarding item AO, the illustrated linkheads were connected to an Ethernet network. A total of three buildings were involved in the project.

It is requested that the information provided herein be made of record in this application.

10/24/02  
Date

Respectfully submitted,



Richard E. Wawrzyniak  
Attorney for Applicant(s)  
Reg. No. 36,048  
(858) 552-1311

Address all Correspondence to:

FITCH, EVEN, TABIN & FLANNERY  
120 So. LaSalle Street  
Suite 1600  
Chicago, IL 60603  
(858) 552-1311